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ABSTRACT

Numerous attempts by the U.S. Navy to identify leadership potential within its ranks and to train for such leadership skills have been mostly unsuccessful since the efforts were based upon very subjective perceptions of good leadership qualities. To address this problem, the Navy, with the assistance of Dr. David McClelland, has described a set of twenty-seven competencies based upon research and real life constructs. These competencies have been grouped into the following five broad categories: task achievement; skillful use of influence; management control; advising and counseling; and coercion. The method for determining these competencies involved the following three steps: identification of "superior" and "average" criterion samples of Navy leaders; the conduct of behavioral event interviews; and the thematic content analysis of behavioral events. The set of competencies resulting from this research are demonstrably capable of discriminating between "superior" and "average" leaders among naval and petty officers. This set also has been considered to be a reliable data base for the development of leadership training programs and of instruments to measure the level of achievement. Leadership training programs are currently being developed at a number of accession points and grade levels of Naval personnel. Full implementation is planned to commence by early fiscal year 1980.
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"THE RATIONALE AND METHODOLOGY FOR DEVELOPMENT OF A COMPETENCY
BASED LEADERSHIP EDUCATION AND TRAINING PROGRAM IN THE NAVY"

A PRESENTATION
BEFORE THE

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION

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BY

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ABSTRACT

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McClelland states that customary means for establishing qualification for performance of jobs are erroneously based upon assumptions that "general intelligence" is indicative of specific capabilities. He postulates that qualification establishment should be based upon demonstrations of competency in the skills required. He calls such measures "competency based", and states that establishment of these measures requires determination of the competencies associated with successful job performance. Navy has chosen McClelland's thesis as rationale for its new system-wide implementation of "leadership education and training". This paper describes application of McClelland's thesis to this first attempt at developing curricula in the affective domain.

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THE RATIONALE AND METHODOLOGY FOR DEVELOPMENT OF A COMPETENCY BASED LEADERSHIP EDUCATION AND TRAINING PROGRAM IN THE NAVY

THE U. S. NAVY HAS FOR MANY YEARS SOUGHT MEANS BY WHICH TO IDENTIFY THOSE IN ITS SERVICE WHO SHOWED POTENTIAL FOR LEADERSHIP, AND HAS ALSO MADE NUMEROUS ATTEMPTS TO FIND MEANS FOR TRAINING AND EDUCATING TO SUCH LEADERSHIP SKILLS. EFFORTS IN THE PAST HAVE BEEN DIRECTED AT THE CONSTRUCTION OF SUCH TRAINING AND EDUCATION BASED UPON VERY SUBJECTIVE PERCEPTIONS OF WHAT CONSTITUTES GOOD LEADERSHIP, AND THEY HAVE BY AND LARGE BEEN COMPLETE FAILURES. PERHAPS A STRONG REASON FOR THESE FAILURES IS THAT THERE HAS BEEN, AND STILL REMAINS, A CONTINGENT OF THE NAVY WHICH BELIEVES THAT "LEADERS ARE BORN, NOT MADE," AND THE SUPPORT FOR LEADERSHIP TRAINING HAS LACKED ENTHUSIASM. BUT THE TRAUMA OF THE ALL-VOLUNTEER FORCE IN LIEU OF A NATIONAL DRAFT OF MILITARY PERSONNEL HAS LED TO THE CONCLUSION THAT THERE ARE, IN ANY CASE, NOT SUFFICIENT LEADERS BORN TO MEET THE DEMAND FOR HIGH QUALITY LEADERSHIP, AND WE MUST, THEREFORE, LOOK TO THE TRAINING OF LEADERS IF WE ARE TO RESOLVE THE NAVY'S MANPOWER PROBLEMS. HAVING COME TO THAT CONCLUSION, THE OBVIOUS NEXT STEP WAS TO DETERMINE IF IN FACT THERE IS A WAY BY WHICH THE SKILLS EXHIBITED BY GOOD LEADERS CAN BE IDENTIFIED BY A MEANS OTHER THAN BY PERSONAL OPINION, IF SO IDENTIFIED,

CAN THEY BE TAUGHT, AND IF TAUGHT, CAN THEY BE MEASURED TO DETERMINE ACQUISITION BY THE STUDENT. TO ADDRESS THIS PROBLEM THE NAVY HAS TURNED TO McBER AND COMPANY, A BOSTON BASED CONSULTING FIRM WHOSE DIRECTOR, DR. DAVID C. McCLELLAND, WITH SUPPORT FROM HIS STAFF, HAS DEVELOPED AND REFINED WHAT HE TERMS A "COMPETENCY-BASED" APPROACH TO THE IDENTIFICATION OF LEADERSHIP SKILLS, A CURRICULUM FOR TEACHING THESE SKILLS, AND A SET OF MEASURES WHICH CAN RELIABLY AND VALIDLY DETERMINE PREDICTIVELY THE DEGREE TO WHICH NAVY PERSONNEL POSSESS THESE SKILLS, EITHER BEFORE OR FOLLOWING A SUITABLY DESIGNED TRAINING PROGRAM. BURIED WITHIN THE CONCEPT OF COMPETENCY-BASED PROCEDURES AND MEASURES IS THE COROLLARY THAT OF MOST IMPORTANCE TO SUCCESSFUL ACHIEVEMENT IN THE REAL WORLD IS NOT THE FACT OF JOB AND TASK PERFORMANCE, BUT HOW WELL THE JOB AND TASK IS PERFORMED. IT IS THE PURPOSE OF THIS PAPER TO DESCRIBE THE METHOD BY WHICH THIS TRAINING PROGRAM IS BEING DEVELOPED, THE MEANS BY WHICH THE LEARNED SKILLS ARE TO BE MEASURED, AND THE CONTRAST BETWEEN THIS AND MORE TRADITIONAL APPROACHES TO TRAINING PROGRAM DEVELOPMENT.

IN A PAPER APPEARING IN THE JANUARY, 1973, ISSUE OF THE AMERICAN PSYCHOLOGIST, DR. DAVID C. McCLELLAND OF HARVARD UNIVERSITY TOOK UMBRAGE AT THE CONCEPT SO PREVALENT THEN AS WELL AS NOW, THAT INTELLIGENCE AND APTITUDE TESTS ADEQUATELY MEASURED CAPABILITIES IN PEOPLE TO PERFORM CERTAIN TASKS OR JOBS.

HIS THESIS WAS THAT SUCH TESTS MEASURED, IF ANYTHING, CAPABILITIES TO PERFORM IN AN ACADEMIC SETTING AT ACADEMIC SKILLS. HE THEN WENT ON TO DESCRIBE THE CONCEPT THAT ONLY RANDOMLY SELECTED SKILLS REQUIRED OF PERSONS WHEN PERFORMING THE DESIRED JOB COULD BE USED AS THE BASIS FOR A TEST OF APTITUDE FOR THAT JOB. HE CALLED THIS METHOD "CRITERION SAMPLING", AND IT FORMS THE DATA UPON WHICH VALID PREDICTORS OF FUTURE JOB COMPETENCY CAN BE ESTABLISHED. WHEN TESTS FOR THE PREDICTION OF FUTURE SUCCESS ON THE JOB HAVE BEEN DEVELOPED FROM SUCH DATA, THE VALIDITY COEFFICIENTS HAVE RISEN FROM AN AVERAGE OF 0.33 (GHISELLI 1965) TO A MEAN OF 0.60. INASMUCH AS THE SQUARE OF A CORRELATION COEFFICIENT YIELDS THE PREDICTIVE VALIDITY OF A MEASURE, THE NEW JOB COMPETENCY ASSESSMENT RESULTS IN A THREE-FOLD IMPROVEMENT IN THE PREDICTIVE QUALITY OF THE MEASURE OVER PREVIOUS, TRADITIONAL MEANS. THE NAVY HAS THEREFORE CHOSEN TO DEVELOP SUCH A SET OF MEASURES TO DETERMINE THE LEADERSHIP AND MANAGEMENT QUALITIES OF ITS NON-COMMISSIONED AND COMMISSIONED OFFICERS. BUT OF EVEN MORE IMPORTANCE TO THE NAVY'S NEEDS IS THE IDENTIFICATION OF THOSE LEADERSHIP SKILLS WHICH DIFFERENTIATE BETWEEN THE SUPERIOR AND THE AVERAGE LEADER. COMPETENCY IMPLIES NOT ONLY THE PERFORMANCE OF A BEHAVIOR BUT THE LEVEL OF SKILL USED IN THAT PERFORMANCE. IF THE NAVY PLACES ALL ITS SENIOR PETTY OFFICERS AND ITS COMMISSIONED OFFICERS IN SITUATIONS WHICH CALL

UPON THEM TO EXHIBIT LEADERSHIP, (AND IT DOES), THEN THE COMPETENCY WITH WHICH THEY EXHIBIT LEADERSHIP WILL BE MEASURABLE BY THE OUTCOMES OF THAT LEADERSHIP, AND SUCH OUTCOMES ARE MEASURABLE, EVEN THOUGH THE LEADERSHIP BEHAVIOR MAY NOT BE. THEREFORE THE SELECTION OF CONDITIONS WHICH INDICATE HIGH QUALITIES OF LEADERSHIP BY THE SUPERVISING OFFICER SHOULD LEAD TO THE SCREENING OUT FOR IDENTIFICATION THOSE CHARACTERISTICS OF THE OFFICER WHICH APPEAR TO BE UNIQUE TO HIS PERFORMANCE. THIS IDENTIFICATION CAN THEN LEAD TO THE ESTABLISHMENT OF A SET OF COMPETENCIES WHICH ARE COMMON TO MOST EXHIBITIONS OF HIGH QUALITY LEADERSHIP, AND THESE THEN BECOME THE SKILLS TO BE MEASURED AND TAUGHT. THIS IS PROBABLY AN APPROPRIATE TIME TO STATE A DEFINITION OF "COMPETENCY" AS USED IN THIS DISCUSSION, FOR IT WILL APPEAR MANYTIMES. "COMPETENCY" IS USED IN GOAL OR OUTCOME ORIENTED TRAINING TO IMPLY THE KNOWLEDGE, SKILLS, ABILITY, MOTIVES OR OTHER CHARACTERISTICS THAT CAN BE DEMONSTRATED TO RELATE DIRECTLY TO COMPETENT OCCUPATIONAL PERFORMANCE. IN THE PROGRAM NOW UNDER DISCUSSION THE ASSESSMENT OF THESE JOB RELATED COMPETENCIES AMONG JOB INCUMBENTS IS BOTH THE SOURCE OF THE DETERMINATION OF THE COMPETENCIES RELATED TO SUPERIOR LEADERSHIP AND THE BASIS FOR THE MEASURES WHICH SUBSEQUENTLY ARE UTILIZED TO DETERMINE EACH STUDENT'S PRE AND POST-TRAINING STATE.

THE JOB COMPETENCY DETERMINATION PROCEDURE MAY BE DESCRIBED

IN THREE STEPS, AS FOLLOWS:

1. THE IDENTIFICATION OF "SUPERIOR" AND "AVERAGE" CRITERION SAMPLES OF NAVY LEADERS. IN ORDER TO ACCOMPLISH THIS STEP, A SELECTED GROUP OF COMMANDING OFFICERS OF FLEET UNITS WAS ASKED TO IDENTIFY COMMISSIONED AND NON-COMMISSIONED OFFICERS ABOARD THEIR SHIPS WHO COULD BE PLACED IN EITHER A "SUPERIOR PERFORMER" OR AN "AVERAGE PERFORMER" CATEGORY OF LEADERS.

2. THE CONDUCT OF "BEHAVIORAL EVENT" INTERVIEWS. THE OFFICERS AND PETTY OFFICERS IN THE SAMPLES TAKEN IN THE FIRST STEP WERE ASKED TO DESCRIBE IN BEHAVIORALLY SPECIFIC TERMS CRITICAL LEADERSHIP INCIDENTS IN WHICH THEY HAD BEEN INVOLVED. THE TECHNIQUE OF BEHAVIORAL EVENT INTERVIEWING, DEVELOPED BY THE McBER COMPANY, INVOLVES OBTAINING A NUMBER OF DESCRIPTIONS OF "BEHAVIORAL EPISODES." FOR EXAMPLE, A PERSON MIGHT BE ASKED TO DESCRIBE AN INCIDENT IN WHICH HE FELT PARTICULARLY SUCCESSFUL (OR UNSUCCESSFUL) AND THEN TO DESCRIBE IN DETAIL THE EVENTS LEADING UP TO THE INCIDENT, WHEN AND WHERE IT OCCURRED, AND HOW HE WAS FEELING AND REACTING BEFORE, DURING AND AFTER THE INCIDENT. THE DISTINGUISHING ASPECT OF THIS INTERVIEW TECHNIQUE IS THAT IT ELICITS INFORMATION FROM WHICH ACTUAL BEHAVIORS CAN BE RECONSTRUCTED INSTEAD OF ELICITING INTERPRETATIONS OR RECOLLECTIONS OF GENERAL OUTCOMES.

3. THEMATIC CONTENT ANALYSIS OF BEHAVIOR EVENTS.

INASMUCH AS THE OFFICERS AND PETTY OFFICERS INTERVIEWED WERE CATAGORIZED INTO A DICHOTOMY OF "SUPERIOR" OR "AVERAGE" LEADERS, IT IS POSSIBLE TO COMPARE THEM IN TERMS OF THE CONTENT OF THEIR BEHAVIORAL EVENTS. THIS COMPARISON PROCESS INVOLVES, FIRST, THE IDENTIFICATION OF CHARACTERISTICS OR THEMES WHICH CAN BE DRAWN FROM THE RELATED INCIDENTS IN BOTH GROUPS OF THE SAMPLE. THEN IT INVOLVES THE DESIGN OF A SCORING SYSTEM WHICH WILL RELIABLY CREDIT A SET OF BEHAVIORAL EVENTS FOR THE PRESENCE OF THE THEMES OR CHARACTERISTICS. THESE THEMES WHICH ARE PRESENT IN THE EVENTS RELATED BY THE "SUPERIOR" GROUP AND NOT PRESENT IN THOSE RELATED BY THE "AVERAGE" GROUP BECOME THE COMPETENCY CHARACTERISTICS THAT ARE LIKELY TO LEAD TO HIGH LEADERSHIP PERFORMANCE. ONCE IDENTIFIED, THESE CHARACTERISTICS CAN BE SUBSEQUENTLY VALIDATED THROUGH A REVERSAL OF THE PROCESS, THAT IS, THE IDENTIFICATION OF PERSONS EXHIBITING THESE CHARACTERISTICS CAN BE COMPARED WITH A SET OF HIGH PERFORMANCE LEADERS SELECTED BY THEIR PEERS AND SUPERVISORS. THE PREDICTIVE VALIDITY SHOULD BE NOT LESS THAN .60.

THE THEMATIC CONTENT ANALYSIS FROM APPROXIMATELY EIGHT HUNDRED CRITICAL LEADERSHIP INCIDENTS COLLECTED FROM FLEET INTERVIEWS PROVIDED TWENTY-SEVEN RELIABLY DISTINGUISHABLE

LEADERSHIP COMPETENCY CHARACTERISTICS, AND THESE WERE SUBSEQUENTLY DISTILLED DOWN TO FIVE MAJOR LEADERSHIP AND MANAGEMENT FUNCTIONS, OR FACTORS. STATISTICAL SUPPORT FOR THE DERIVATION OF THESE FIVE FACTORS MAY BE FOUND IN THE McBER AND COMPANY FINAL REPORT OF THE "ANALYSIS OF LEADERSHIP AND MANAGEMENT COMPETENCIES OF COMMISSIONED AND NON-COMMISSIONED NAVAL OFFICERS IN THE ATLANTIC AND PACIFIC FLEETS." HOWEVER, BECAUSE THESE FACTORS FORM THE BASIS FOR BOTH THE DETERMINATION OF THE BEHAVIORS TO BE TAUGHT IN THE TRAINING PROGRAM AS WELL AS THE MEASURES FOR DETERMINING THE EXTENT TO WHICH THE STUDENTS ACQUIRE SKILLS AND COMPETENCIES THROUGH THE TRAINING, IT IS IMPORTANT TO THIS DISCUSSION THAT THEY BE DESCRIBED, AND TO SOME EXTENT DISCUSSED.

THE TWENTY-SEVEN COMPETENCY CATEGORIES, AS DIVIDED INTO THE FIVE DISTINCT CONCEPTUAL CLUSTERS OR FACTORS ARE AS FOLLOWS:

FACTOR I: TASK ACHIEVEMENT

NAVY OFFICERS REPORTED NUMEROUS INCIDENTS IN WHICH THEY EXPRESSED CONCERN FOR ACHIEVEMENT, SET SPECIFIC GOALS, TOOK INITIATIVE TO SOLVE TECHNICAL PROBLEMS, OR COACHED OTHERS TO IMPROVE THEIR PERFORMANCE. FIVE COMPETENCY CATEGORIES MAKE UP THIS FACTOR:

1. CONCERN FOR ACHIEVEMENT: OFFICERS EXPRESSED A DESIRE TO "DO JOBS RIGHT", TO MEET STANDARDS OF EXCELLENCE, AND TO ADVANCE IN THEIR CAREERS, AND FELT PROUD WHEN THEY HAD DONE A JOB WELL.

2. TAKES INITIATIVE: OFFICERS DESCRIBED TAKING PERSONAL INITIATIVE TO OVERCOME OBSTACLES IN ACCOMPLISHING TASKS.

3. SETS GOALS: OFFICERS ARTICULATED SPECIFIC (OFTEN MEASURABLE), CHALLENGING BUT REALISTIC AND TIME-PHASED GOALS FOR THEIR OWN PERFORMANCE AND THAT OF THEIR SUBORDINATES AND UNIT.

4. COACHES: OFFICERS DESCRIBED HELPING SUBORDINATES TO ACCOMPLISH TASKS MORE EFFECTIVELY BY PROVIDING INFORMATION, "SHOWING THEM HOW", OR BY ENCOURAGING THEIR PERSONAL DEVELOPMENT THROUGH TRAINING OR OTHER ENRICHING EXPERIENCES.

5. TECHNICAL PROBLEM SOLVING: OFFICERS, PARTICULARLY ENLISTED PERSONNEL IN TECHNICAL RATES, DESCRIBED THINKING ANALYTICALLY IN SOLVING TECHNICAL PROBLEMS: OBSERVING DISCREPANCIES IN EQUIPMENT PERFORMANCE (PROBLEM FINDING), REASONING DEDUCTIVELY TO IDENTIFY THE CAUSES OF MALFUNCTIONS, LOCATING NEEDED RESOURCES, ANTICIPATING OBSTACLES, AND ACTING TO CORRECT PROBLEMS.

FACTOR II: SKILLFUL USE OF INFLUENCE

OFFICERS DESCRIBED BEING CONCERNED WITH INFLUENCE STRATEGIES--PERSUASION, EXPLANATION, INSPIRATION, REWARDS-- TO ACCOMPLISH OBJECTIVES AND MOTIVATE SUBORDINATES TO WORK AS A TEAM. "INFLUENCE SKILL" IS AIDED BY CONCEPTUAL THINKING ABOUT SHORT- AND LONG-RANGE IMPACT AND BY EMOTIONAL SELF-CONTROL. FIVE COMPETENCY CATEGORIES WERE INCLUDED IN THIS FACTOR:

1. CONCERN FOR INFLUENCE: OFFICERS REPORTED BEING CONCERNED ABOUT INFLUENCING OTHERS ("I WANTED TO CONVINCE HIM"), USING THEIR OWN POWER IN INTERPERSONAL RELATIONS, AND BEING SENSITIVE TO THE POLITICAL FACTORS IN COMPLEX SITUATIONS.

2. INFLUENCES: OFFICERS DESCRIBED ACTING TO INFLUENCE OTHERS WITHOUT HAVING TO RESORT TO DIRECT ORDERS OR THREATS, USING INFLUENCE EFFECTIVELY TO ACHIEVE THEIR ENDS WHILE MAKING OTHERS FEEL MORE EFFICACIOUS IN THE PROCESS.

3. CONCEPTUALIZES: OFFICERS DESCRIBED A HIGH LEVEL OF CONCEPTUAL ABILITY IN PROBLEM IDENTIFICATION, SYSTEM ANALYSIS, AND POLICY FORMULATION. THIS COMPETENCY IS THE ABILITY TO SEE PATTERNS IN COMPLEX DATA, SEPARATE IMPORTANT INFORMATION FROM UNIMPORTANT, DEVELOP INTEGRATIVE CONCEPTS AND PRINCIPLES AND SUPPORT THESE WITH SPECIFIC DATA, AND RECONCILE EXCEPTIONS AND DISCREPANCIES, USUALLY WITH REGARD TO HAVING AN IMPACT ON OTHERS OR ON THE SYSTEM.

4. TEAM BUILDS: OFFICERS DESCRIBED ENCOURAGING SUBORDINATES TO WORK TOGETHER AS A TEAM, TO "BUY INTO" SHARED UNIT OR COMMAND PERFORMANCE GOALS, AND TO CREATE SYMBOLS AND EVENTS WHICH STIMULATED UNIT PRIDE AND IDENTITY.

5. REWARDS: OFFICERS REPORTED REWARDING OTHERS FOR GOOD TASK PERFORMANCE IN ORDER TO INFLUENCE AND MOTIVATE SUBORDINATES.

6. SELF-CONTROL: OFFICERS REPORTED CONSCIOUSLY CONTROLLING THEIR EMOTIONS, PARTICULARLY ANGER AND AFFILIATIVE TENDENCIES, WHEN THESE EMOTIONS THREATENED TO INTERFERE WITH THEIR ABILITY TO INFLUENCE OTHERS OR TO MAINTAIN AN EFFECTIVE LEADERSHIP ROLE.

FACTOR III: MANAGEMENT CONTROL

OFFICERS DESCRIBED USING A STRAIGHTFORWARD MANAGEMENT SEQUENCE OF PLANNING AND ORGANIZING, ISSUING DIRECTIONS, DELEGATING, MATCHING PEOPLE TO JOBS TO BE DONE, MONITORING RESULTS AND GIVING FEEDBACK IN MANY INCIDENTS. SEVEN COMPETENCY CATEGORIES WERE INCLUDED IN THIS FACTOR:

1. PLANS AND ORGANIZES: OFFICERS REPORTED IDENTIFYING THE ACTIONS THEY NEEDED TO TAKE AT ONE POINT IN TIME TO ACHIEVE RESULTS AT SOME LATER TIME, SPECIFYING PERSONNEL, MATERIALS AND OTHER RESOURCES NEEDED, AND PRIORITIZING TASKS TO BE ACCOMPLISHED.

2. DIRECTS: OFFICERS, WHEN THEY DID NOT INFLUENCE SUBORDINATES, CLEARLY DIRECTED THEM TO PERFORM TASKS WITHOUT EXPLANATION AND IN THE ABSENCE OF PERSONALIZED THREATS OR PUNISHMENT.

3. DELEGATES: OFFICERS DESCRIBED CONSCIOUS USE OF THE CHAIN OF COMMAND TO GET SUBORDINATES TO TAKE RESPONSIBILITY FOR TASKS.

4. OPTIMIZES (PEOPLE-TASK): OFFICERS REPORTED REALISTICALLY ASSESSING PEOPLE IN MAKING PERSONNEL DECISIONS TO ASSIGN TASKS TO THOSE INDIVIDUALS MOST LIKELY TO DO THEM WELL, AND IN MAKING TRADE-OFFS BETWEEN TASK REQUIREMENTS AND INDIVIDUAL NEEDS (IN NAVY PARLANCE, "INTEGRATION OF MEN AND MISSION").

5. MONITORS RESULTS: OFFICERS REPORTED MONITORING FOLLOWUP, CHECKING BACK TO SEE IF MANAGEMENT ACTIONS, SUBORDINATES OR EQUIPMENT IN FACT ACCOMPLISHED WHAT THEY WERE EXPECTED TO ACCOMPLISH IN A GIVEN TIME PERIOD.

6. RESOLVES CONFLICTS: OFFICERS DESCRIBED NEGOTIATING OR MEDIATING INTERPERSONAL DISPUTES TO A SUCCESSFUL RESOLUTION, DEFINED AS A "WIN-WIN" SOLUTION, IN WHICH BOTH PARTIES IN THE DISPUTE WERE REALTIVELY SATISFIED AND NEITHER LOST A DISPROPORTIONATE AMOUNT OF POWER, STATUS OR RESOURCES.

7. GIVES FEEDBACK: OFFICERS REPORTED GIVING SPECIFIC FEEDBACK TO SUBORDINATES ON THEIR TASK PERFORMANCE.

FACTOR IV: ADVISING AND COUNSELING

MANY LEADERS AND MANAGERS DESCRIBED LISTENING TO AND COUNSELING SUBORDINATES IN A HIGH PERCENTAGE OF THEIR CRITICAL LEADERSHIP INCIDENTS. COUNSELING INCIDENTS DEALT WITH FOUR ISSUES: PERFORMANCE, DISCIPLINARY MATTERS, PERSONAL PROBLEMS (INCLUDING DRUG, ALCOHOL, FINANCIAL AND FAMILY DIFFICULTIES) AND CAREER PLANNING. FOUR COMPETENCY CATEGORIES ARE INCLUDED IN THIS FACTOR:

1. LISTENS: OFFICERS REPORTED NOTICING WHEN SUBORDINATES APPEARED TO BE HAVING PROBLEMS, APPROACHING PEOPLE TO INVITE THEM TO TALK ABOUT ISSUES CONCERNING THEM, OR BEING PERCEIVED AS APPROACHABLE ("...THE BLACK GUYS CAME TO SEE ME BECAUSE, THEY SAID, THEY FELT I WAS THE ONLY ONE THEY COULD TALK TO.").

2. UNDERSTANDS: OFFICERS DESCRIBED BEING ABLE TO "HEAR WHAT OTHERS ARE TRYING TO SAY" (ACCURATE EMPATHY OR INSIGHT INTO SUBORDINATES' NEEDS, MOTIVES OR HIDDEN AGENDA).

3. HELPS: OFFICERS DETAILED THE ACTIONS THEY TOOK TO HELP SUBORDINATES IN COUNSELING SITUATIONS, INCLUDING GIVING ADVICE, MAKING TIME AVAILABLE TO TALK, ACTING DIRECTLY

TO "FIGHT FOR THEIR PEOPLE," OR MAKING APPROPRIATE REFERRALS TO SOURCES OF HELP (MEDICAL PERSONNEL, CHAPLAINS, DRUG AND ALCOHOL TREATMENT FACILITIES).

4. POSITIVE EXPECTATIONS: OFFICERS EXPRESSED POSITIVE EXPECTATIONS OF AND REGARD FOR THEIR SUBORDINATES.

FACTOR IV: COERCION

NAVY OFFICERS DESCRIBED CRITICAL INCIDENTS IN WHICH THEY USED RANK OR THREATS TO MOTIVATE OTHERS TO ACT, EXPRESSED NEGATIVE EXPECTATIONS OF SUBORDINATES, DISCIPLINED THEM, ACTED IMPULSIVELY, AND RESOLVED CONFLICTS BY FORCE OR FAILED TO RESOLVE THEM. FIVE COMPETENCY CATEGORIES WERE INCLUDED IN THIS FACTOR:

1. COERCES: OFFICERS DESCRIBED USING RANK AND BOTH GENERAL AND PERSONALIZED THREATS TO MOTIVATE SUBORDINATES.

2. NEGATIVE EXPECTATIONS: OFFICERS EXPRESSED NEGATIVE REGARD AND EXPECTATIONS FOR THEIR SUBORDINATES ("HE IS NO GOOD-- THERE'S NO WAY HE'S GOING TO MAKE IT").

3. DISCIPLINES: OFFICERS DESCRIBED PUNISHING SUBORDINATES BY GIVING THEM NEGATIVE FEEDBACK, POOR FITNESS OR EVALUATION REPORTS, OR USING STANDARD UCMJ PROCEDURES.

4. ACTS IMPULSIVELY: OFFICERS REPORTED EXPRESSING THEIR EMOTIONS WITHOUT INHIBITION--PRIMARILY ANGER ("I BLEW MY STACK AT HIM") AND OCCASIONALLY AFFILIATION ("MY BUDDIES HAD TO COME FIRST").

5. FAILS TO RESOLVE CONFLICTS: OFFICERS DESCRIBED SITUATIONS IN WHICH THEY DID NOT REACH "WIN-WIN" RESOLUTIONS OF CONFLICTS, EITHER BECAUSE THEY RESOLVED CONFLICTS BY UNILATERAL FORCE OR BY AVOIDING DEALING WITH THE CONFLICT.

CONSTRUCT VALIDATION FOR THESE FACTORS AND SUPPORTING CATEGORIES IS AVAILABLE IN THE LITERATURE, AND FOR THOSE WHO WISH TO PROBE DEEPER INTO THIS ASPECT OF THE COMPETENCIES, THE McBER REPORT MENTIONED EARLIER CITES THE RELEVANT REFERENCES.

AFTER THESE COMPETENCY FACTORS AND CATEGORIES WERE DERIVED FROM THE ANALYSIS OF THE DATA GATHERED FROM THE INTERVIEWS IN BOTH THE PACIFIC AND ATLANTIC FLEETS, THEY WERE CROSS VALIDATED IN FOLLOW-ON INTERVIEWS IN BOTH FLEETS TO DETERMINE THE EXTENT TO WHICH THE CRITERIA COULD DISCRIMINATE BETWEEN "SUPERIOR" AND "AVERAGE" COMMISSIONED AND NON-COMMISSIONED OFFICERS DRAWN FROM EACH FLEET. THE FIRST FOUR FACTORS, THAT IS, TASK ACHIEVEMENT, SKILLFUL USE OF INFLUENCE, MANAGEMENT CONTROL AND ADVISING AND COUNSELING, CLEARLY DISTINGUISHED BETWEEN THE TWO CATEGORIES OF OFFICERS AND PETTY OFFICERS, ALTHOUGH THE FACTOR CALLED COERCION FAILED TO SO DISCRIMINATE, IT APPEARING EQUALLY AS

A CHARACTERISTIC OF BOTH "SUPERIOR AND "AVERAGE" PERSONNEL.

PERHAPS THIS IS AN APPROPRIATE PLACE TO ADDRESS THE QUESTION OF THE DIFFERENCE, IF ANY, BETWEEN JOB COMPETENCY ANALYSIS AND JOB/TASK ANALYSIS. IT WOULD SEEM THAT THEY BOTH ACCOMPLISH A COMMON RESULT...THEY PROVIDE A DATA BASE FROM WHICH INSTRUCTIONAL PROGRAMS AND ACHIEVEMENT MEASURES MAY BE DERIVED, AND THEY PROVIDE A MEANS BY WHICH WE MAY PRIORITIZE SKILLS AND KNOWLEDGES REQUIRED FOR THE SUCCESSFUL ACCOMPLISHMENT OF A JOB SO THAT WE MAY PLACE OUR TRAINING RESOURCES WHERE THEY WILL DO THE MOST GOOD. BUT THERE ARE ALSO SOME VERY IMPORTANT DIFFERENCES BETWEEN THEM, IT SEEMS TO US, AND THESE SHOULD BE UNDERSTOOD. FIRSTLY, AND MOST IMPORTANTLY, JOB/TASK ANALYSIS PROVIDES INFORMATION AS TO WHAT MUST BE ACCOMPLISHED IN ORDER TO PERFORM A SPECIFIC TASK OR JOB, WHEREAS JOB COMPETENCY ANALYSIS PROVIDES INFORMATION ABOUT HOW TO GET THE JOB DONE IN THE BEST AND MOST EFFECTIVE FASHION. SECONDLY, WHILE BOTH ADDRESS THE COGNITIVE DOMAIN, JOB/TASK ANALYSIS DEALS PRIMARILY WITH THE PSYCHOMOTOR DOMAIN WHILE JOB COMPETENCY ANALYSIS DEALS PRIMARILY WITH THE AFFECTIVE DOMAIN. AND THIRDLY, JOB/TASK ANALYSIS MOST OFTEN CONCERNS ITSELF WITH TECHNICAL MATTERS, WHILE JOB COMPETENCY ANALYSIS CONCERNS ITSELF WITH NON-TECHNICAL MATTERS.

AS WE HAVE DISCUSSED BRIEFLY, THE JOB COMPETENCY ASSESSMENT FUNCTION HAS PROVIDED US WITH A DATA BASE UPON WHICH TO CON-

STRUCT THE CURRICULUM FOR THE TRAINING PROGRAM IN LEADERSHIP SKILLS. IT HAS ALSO PROVIDED US WITH THE DATA BASE FROM WHICH TO DEVELOP INSTRUMENTS FOR THE MEASUREMENT OF PRE- AND POST-TRAINING SKILLS IN LEADERSHIP, AND FOR THE PREDICTION OF SUCCESS IN THAT ART.

THE DEVELOPMENT AND PACKAGING OF A SET OF ASSESSMENT INSTRUMENTS TO MEASURE THE COMPETENCIES IDENTIFIED AS THOSE DISTINGUISHING BETWEEN SUPERIOR AND AVERAGE LEADERS IS CALLED THE NAVY LEADERSHIP AND MANAGEMENT SKILLS TEST BATTERY. IT HAS BEEN ADMINISTERED TO APPROXIMATELY ONE THOUSAND COMMISSIONED AND NON-COMMISSIONED OFFICERS AT EIGHT LEADERSHIP LEVELS, ALTHOUGH AT THE TIME OF THIS PRESENTATION THE DATA ARE NOT YET AVAILABLE FOR REPORTING. THE LEVELS AT WHICH THE BATTERY WAS ADMINISTERED WERE PETTY OFFICER, LEADING PETTY OFFICER, CHIEF PETTY OFFICER, MASTER CHIEF PETTY OFFICER, DIVISION OFFICER, DEPARTMENT HEAD, EXECUTIVE OFFICER AND COMMANDING OFFICER.

THE PURPOSES OF THIS TEST BATTERY DEVELOPMENT WERE AS FOLLOWS:

1. TO MEASURE THE COMPETENCIES IDENTIFIED AS DISTINGUISHING BETWEEN SUPERIOR AND AVERAGE NAVY LEADERS;
2. TO DEVELOP TESTS WHICH MEET THE AMERICAN PSYCHOLOGICAL ASSOCIATION PSYCHOMETRIC STANDARDS FOR RELIABILITY AND VALIDITY.

3. TO DEVELOP TESTS THAT ARE NAVY RELEVANT AND FACE VALID.

4. TO DEVELOP TESTS THAT ARE EASILY ADMINISTERED AND SCORED.

NOW INASMUCH AS COMPETENCIES DESCRIBE ATTITUDES PEOPLE HAVE OR ACTIONS THEY TAKE, INSTEAD OF WHAT THEY KNOW, TESTS MUST MEASURE WHAT PEOPLE DO, NOT WHAT THEY KNOW. UNFORTUNATELY, MOST TESTS AVAILABLE HAVE BEEN DESIGNED TO MEASURE KNOWLEDGE. SO A NEW APPROACH TO THE DESIGN OF TESTS HAD TO BE MADE. THESE TESTS HAVE THE FOLLOWING ATTRIBUTES:

1. THEY ASSESS COMPETENCIES, THAT IS, THOSE BEHAVIORS THAT DISTINGUISH BETWEEN AVERAGE AND SUCCESSFUL PERFORMANCE INVOLVED IN CLUSTERS OF LIFE SKILLS,

2. THEY ARE DEVELOPED BY EXAMINING THE BEHAVIORS OF PEOPLE EXHIBITING THOSE BEHAVIORS TO BE MEASURED,

3. THEY TAP OPERANT AS WELL AS RESPONDENT THOUGHT.

THE RESULTING BATTERY IS A COMPOSITE OF FOUR TESTS WHICH WERE AVAILABLE IN THE MARKET, AND FOUR WHICH REQUIRED DEVELOPMENT BY McBER TEST DESIGNERS. TABLE I IS A DESCRIPTION OF THESE TESTS BY FUNCTION AND NAME, AND INDICATES WHICH ARE THOSE AVAILABLE FROM STANDARD TESTS IN THE MARKET, AND WHICH

ARE THE RESULT OF McBER DEVELOPMENT. THE OUTCOME OF THE PILOT TESTS OF THESE MEASURES, AND A MORE ELABORATE AND COMPLETE DISCUSSION OF THE CONSTRUCTION OF THE NEW MEASURES MAY BE OBTAINED FROM THE CHIEF OF NAVAL PERSONNEL IF DESIRED.

TABLE I

TESTS, THEIR FORMAT, AND COMPETENCIES TESTED FOR IN THE
NAVY LEADERSHIP AND MANAGEMENT SKILLS TEST BATTERY

TESTS WHICH EXIST

<u>TEST</u>	<u>FORMAT</u>	<u>COMPETENCIES</u>
STRONG-CAMPBELL INTEREST INVENTORY	RATE YOUR PREFER- ENCES ON A NUMBER OF DIMENSIONS	TECHNICAL PROBLEM SOLVING
PICTURE STORY EXERCISE	WRITE IMAGINATIVE STORIES TO EACH OF SIX PICTURES	CONCERN FOR ACHIEVE- MENT TAKES INITIATIVE HAS CONCERN FOR INFLU- ENCE. HAS SELF-CON- TROL ACTS IMPULSIVELY
WORK ANALYSIS QUESTIONNAIRE	EXPRESS YOUR WORK PREFERENCES ON A SERIES OF STATEMENTS	CONCERN FOR ACHIEVE- MENT CONCERN FOR INFLU- ENCE

TESTS WHICH EXIST (CONTINUED)

<u>TEST</u>	<u>FORMAT</u>	<u>COMPETENCIES</u>
ORGANIZATIONAL CLIMATE SURVEY QUESTIONNAIRE	DESCRIBE AN IDEAL WORK CLIMATE FOR YOU BY RESPONDING TO A SERIES OF STATEMENTS	CONCERN FOR ACHIEVE- MENT CONCERN FOR INFLUENCE

TEST WHICH WERE DEVELOPED

<u>TEST</u>	<u>FORMAT</u>	<u>COMPETENCIES</u>
LISTENING AND COUNSELING, PART I	WRITE OUT ANSWERS ABOUT TAPED VOICE EXCERPTS AND ABOUT PICTURES	LISTENS UNDERSTANDS HELPS
LISTENING AND COUNSELING, PART II	ANSWER QUESTIONS AFTER HEARING EACH OF FOUR MONOLOGUES	LISTENS UNDERSTANDS HAS POSITIVE EXPECTATIONS
MANAGEMENT OF PROBLEMS TEST	CHOOSE THE THREE PREFERRED RESPONSES OUT OF SIX RESPONSES GIVEN FOR EACH OF TWENTY SITUATIONS.	INFLUENCES TEAM BUILDS DIRECTS (AUTH- ORITARIAN) RESOLVES CONFLICTS COERCES FAILS TO RESOLVE CONFLICTS

TESTS WHICH WERE DEVELOPED (CONTINUED)

<u>TEST</u>	<u>FORMAT</u>	<u>COMPETENCIES</u>
MANAGERIAL STYLE QUESTIONNAIRE	GIVE EACH OF THREE RESPONSES TO A SER- IES OF SENTENCES A PREFERRED NUMBER OF POINTS	COACHES REWARDS PLANS AND ORGANIZES DELEGATES MONITORS RESULTS GIVES FEEDBACK PUNISHES
PLANNING EXERCISE	FIND THE MOST EFFICIENT SCHEDULE FOR A SERIES OF TASKS	PLANS AND ORGANIZES

TO SUMMARIZE, WE MAY SAY THAT FOR THE FIRST TIME IN THE NAVY THERE HAS BEEN DESCRIBED THROUGH VALID RESEARCH AND BASED UPON REAL LIFE CONSTRUCTS A SET OF COMPETENCIES, THAT IS, SKILLS AND CHARACTERISTICS, WHICH ARE DEMONSTRATABLY CAPABLE OF DISCRIMINATING BETWEEN SUPERIOR AND AVERAGE LEADERS AMONG NAVAL OFFICERS AND PETTY OFFICERS, AND WHICH CAN THEREFORE BE RELIABLY USED AS A DATA BASE FOR THE DEVELOPMENT OF TRAINING PROGRAMS IN LEADERSHIP, INCLUDING THE INSTRUMENTS FOR THE MEASUREMENT OF ACHIEVEMENT OF THE REQUIRED BEHAVIORS FOR GOOD LEADERSHIP IN THE NAVY. THE BUREAU OF NAVAL PERSONNEL, THROUGH THE WORK OF THEIR CONTRACTOR, THE MCBER AND COMPANY OF BOSTON, ARE CURRENTLY DEVELOPING

LEADERSHIP TRAINING PROGRAMS AT A NUMBER OF ACCESSION POINTS AND GRADE LEVELS OF NAVAL PERSONNEL. THE NAVAL EDUCATION AND TRAINING COMMAND, CHARGED WITH THE RESPONSIBILITY FOR THE IMPLEMENTATION OF THESE PROGRAMS, IS CAREFULLY MONITORING THE PROCESS. FULL IMPLEMENTATION IS PLANNED TO COMMENCE EARLY FY 1980.

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